

3.4.2.3 Configuration Control Board (CCB) Decision Process

3.4.2.3.1 Purpose

This procedure describes the process steps that support disposition of NAS Change Proposals (NCP) through CCB review and action. These steps include determination of NCPs ready for CCB; scheduling a CCB; dissemination of agenda packages; conduct of the CCB meeting; and preparation and issuance of meeting minutes and implementing directives. These activities constitute the CCB review portion of the FAA change management process.

3.4.2.3.2 Scope

This procedure applies to organizations that evaluate and determine disposition action of NCPs at a chartered CCB. This procedure applies to change management activities that occur in any phase of the FAA's Acquisition Management System (AMS) life cycle.

This procedure also applies to organizations that are assigned action items as a result of CCB disposition of an NCP or discussion of a CCB agenda item.

3.4.2.3.3 Responsibilities

- A CCB is responsible for administrative and coordination activities associated with the disposition of NCPs. These activities ~~include data entry~~capture of related activity and configuration status accounting (CSA) information into the Documentation and Configuration Identification System (DOCCON) WebCM are captured in the national CM support tool on a real-time basis.
- A CCB is responsible for adhering to SMS requirements for changes to the NAS and uses the required safety documentation (CNSRM checklist, SRMDM and if required the SRMD) to support effective decision making..
- The CCB Executive Secretariat performs the administrative functions associated with the CCB decision process. The CCB Executive Secretariat is the focal point for establishing the CCB schedule and agendas; ensuring necessary action is taken in processing all proposed changes for disposition by the CCB; maintaining records for the CCB; and preparing minutes, action items and status tracking based on the CCB meeting results. The CCB Executive Secretariat is also responsible for determination of Class II changes in accordance with the established criteria (Section 3.4.2.2), if that practice is adopted by the CCB.
- ~~Enterprise~~NAS Configuration Management ~~and Evaluation (ACM)~~ Staff is responsible for coordinating activities associated with the NAS CCB and monitoring subordinate CCB activities.

3.4.2.3.4 References

Reference	Reference Paragraph/Activity Number
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<ul style="list-style-type: none"> • FAA Order 1800.66, Appendix 1, <i>Configuration Management in the National Airspace System</i>, Part One – Configuration Management (CM) Policy Elements 	<ul style="list-style-type: none"> • Statements I-4.3, I-4.4, I.5 and I-8 • Statements II-1 and II-3 • Statements III-2, III-3 and III-4 • Statement IV-1
<ul style="list-style-type: none"> • FAA Order 1800.66, Appendix 1, <i>Configuration Management in the National Airspace System</i>, Part Two, Configuration Management Handbook, Section II, National Configuration Management Process 	<ul style="list-style-type: none"> • 100 Perform Change Management • 101 Perform Configuration Status Accounting
<ul style="list-style-type: none"> • ATC-88-1092, DOCCON General User's Reference Guide 	

3.4.2.3.5 Procedure

A CCB shall be the official agency-authorized forum to consider and disposition NCPs. A CCB is composed of technical and administrative representatives who recommend approval or disapproval of proposed changes to the CCB chairperson(s). The CCB chairperson(s) shall have final authority for making disposition decisions. The CCB shall have decision authority for all changes affecting configuration items (CI) assigned to it (as listed in Appendix A of the CCB charter).

Upon completion of comment resolution or a must evaluation review that generates no actionable comments, the CCB CM Office shall declare an NCP ready for ~~action~~adjudication. At this point, the NCP is forwarded to the CCB Executive Secretariat for CCB disposition in accordance with the operating procedures. The CCB CM Office may also forward NCPs with deadlocked issues for CCB direction. Note that a member of the CCB CM Office may fill the position of CCB Executive Secretariat.

The CCB operating procedures may include steps to accommodate signature of NCPs outside a regularly scheduled CCB. NCPs that might be considered for signature outside a scheduled meeting include “urgent” and “time-critical” changes that require expedited processing, or non-contentious and administrative changes for which a formal CCB review would not be necessary.

The CCB Executive Secretariat shall ~~use agenda packages to~~ notify participants of an upcoming CCB as well as provide background material in support of the agenda via issuance of agendas. ~~In addition to the agenda,~~issuance of agendas ~~packages~~ shall include proposed Configuration Control Decisions (CCD), copies of NCPs and their resolution of comments, safety documentation as required and other briefing materials, as appropriate. The CCB operating procedures shall define other preparations for a formal board (e.g., instructions for briefers and issue discussion).

At a scheduled CCB, the chairperson(s) shall first verify that a quorum is present. The chairperson(s) shall then convene the meeting and lead the discussion of the various agenda items. The CCB Executive Secretariat shall provide administrative support at the meeting. Issues are discussed and then the chairperson(s) shall make a disposition decision for all presented NCPs; the chair shall approve, disapprove or defer an NCP. NCPs shall not be deferred indefinitely. (Note that each CCB's operating procedures shall specify a time limit for NCP deferrals. After that point, the NCP shall be taken back to the CCB for decision. As a general rule, deferral time limits are one to two CCB cycles.) NCP deferrals are described in Section 3.4.2.3.5.1. In addition, the chairperson(s) may prescribe actions for discussion items not associated with a specific NCP.

Note that the CCB chairperson(s) shall not under any circumstance approve NCPs that have cost impact unless a funding source has been identified.

The chairperson(s) shall sign a NAS CCD (FAA Form 1800-49) for all NCPs that are approved or disapproved, documenting the decision. The CCD shall serve as the official FAA notification of CCB decisions and directives. The CCD shall identify the actions required and the organizations responsible for completing implementation of approved changes. In cases where the CCD requires changes from the version presented at the meeting, the CCB Executive Secretariat shall be responsible for updating it and submitting the revision along with the meeting minutes for signature by the chairperson(s).

Before approving a test NCP, the chairperson(s) shall verify the NCP has a requirements organization sponsor, requirements document or statement, test plan and procedures to include exit criteria. (Note that a test NCP is used for prototype changes as well.) The chairperson(s) normally approves test configurations for a maximum of 12 months. In any case, the CCD shall specify a set duration for the test configuration. The CCD shall also require restoration of the pre-test configuration unless a test extension is processed or a follow-on NCP is approved to make the test configuration permanent. Extensions shall require amendment and approval of the NCP in accordance with Sections 3.4.2.7 and 3.4.2.9.

To facilitate development, the following should be included in test plans:

- Description of system or system modifications to be tested;
- Description of connections (i.e., interfacing systems) including a diagram;
- Requirements document or statement;
- Description of test objectives and data to be collected;
- Description of evaluation plan;
- Description of installation plan;
- Test procedures;

- Exit criteria;
- Description of removal plan;
- Schedule for installation, monitoring and removal;
- Cost associated with developing the test plan, labor, procedure development, collection of test data, test equipment, related equipment, installation, maintenance and support of test set up for the test period, removal of test equipment and restoration of the test site after test completion

[PC1]

The CCB Executive Secretariat shall issue meeting minutes to document the disposition of each NCP and any associated action items. At a minimum, the minutes shall include the list of attendees; disposition of each NCP and rationale for disapproval, if applicable; list of action items; a summary of all other CCB items discussed; and copies of the signed CCDs. The CCB operating procedures shall provide further detail on the contents of the meeting minutes.

The CCB CM Office shall ~~enter~~ ensure capture of all actions listed on the CCD into ~~DOCCON WebCM~~ the national CM support tool and monitor the CCD record until all specified actions have been completed. Note that ~~the DOCCON WebCM~~ the national CM support tool system is used to process all NAS change proposals from initiation to closure of CCD actions. ~~enter all status accounting data associated with change processing. DOCCON updates shall be entered on a real-time basis as specific processing events occur (e.g., case file number assignment, pre-screening data, must evaluator assignment, CCB schedule date, CCB disposition and CCD actions).~~

Although the objective of the change management process is to identify, discuss, assess and resolve all substantive issues before a CCB, on occasion an appeal of a CCB decision will be made. The CCB operating procedures shall include directions for appeal of decisions made at the CCB. CCD appeals are described in Section 3.4.2.3.5.2.

Procedural steps follow. Figure 3.4.2.3.5-1 is a graphical representation of these steps.

Procedure Step	Procedure Description
1. NCP Evaluation (Procedure 3.4.2.2)	<ul style="list-style-type: none"> • The CCB CM Office shall declare an NCP ready for CCB.
2. Schedule CCB	<ul style="list-style-type: none"> • The CCB Executive Secretariat shall establish an advance schedule for CCB meetings. This schedule shall establish a regular interval for the CCB to meet. The CCB Executive Secretariat shall distribute the schedule to all permanent

Procedure Step	Procedure Description
3. Distribute CCB Agenda Package	<p>CCB members and other offices as appropriate.</p> <ul style="list-style-type: none"> • The CCB Executive Secretariat shall schedule an NCP for the next available CCB in accordance with the cut-off deadlines established in the CCB operating procedures. • The CCB Executive Secretariat may authorize any additions or deletions to the CCB agenda as appropriate. Examples include NCPs with deadlocked issues for which CCB direction will assist the resolution process; discussion items not related to a specific NCP; and NCPs that did not meet the prescribed submission deadline, but which, for other reasons, should be processed quickly. • The CCB CM Office shall notify the NCP originator upon establishing a CCB review date. • The CCB CM Office shall enter<u>capture</u> the CCB scheduling information in the DOCCON WebCM <u>the national CM support tool</u>. • The CCB Executive Secretariat shall prepare and issue the CCB agenda and associated materials<u>package</u> in accordance with the operating procedures. • The CCB Agenda Briefing Package normally consists of <u>may include</u> the following: <ul style="list-style-type: none"> - Cover memorandum signed out <u>Notification issued</u> by the CCB Executive Secretariat with the tentative meeting agenda, <u>Must Evaluations responses, Comment Resolution Matrices, and access to each NCP and associated attachments.</u>; - A cover sheet for each NCP that indicates the status of all review

Procedure Step	Procedure Description
4. Conduct CCB Meeting	<p>comments for that NCP; A copy of all NCPs with their Must Evaluation comments and Resolution of Comments; - Briefings and other attachments applicable to the listed agenda items; - A copy of the draft CCD for each NCP. (Note the CCD is drafted in accordance with Procedure 3.4.2.5.).</p> <ul style="list-style-type: none"> At the discretion of the issuing CCB, the package may also include a briefing summary for each NCP on the agenda. The summary would include: <ul style="list-style-type: none"> NCP number and title; Case file originator; Summary of the nonconcur and substantive concur with comments; Cost impact, if any, and funding source; Schedule impact. The CCB Executive Secretariat shall be responsible for the timely <u>announcement of CCB meetings and issuance of the agenda and associated materials</u>distribution of the briefing package. The CCB operating procedures shall provide instructions for conduct of a formal CCB meeting. The CCB chairperson(s) shall verify that a quorum is present before calling the meeting to order. The CCB chairperson(s) shall lead the discussion of the various agenda items. The CCB Executive Secretariat shall provide administrative support at the meeting and shall record the meeting minutes. After discussion concludes for each NCP on the agenda, the CCB chairperson(s) shall make a disposition decision; the CCB chairperson(s) may approve, disapprove or defer an NCP.

Procedure Step	Procedure Description
	<ul style="list-style-type: none"> NCPs shall not be deferred indefinitely. Each CCB's operating procedures shall specify a time limit for NCP deferrals. After exceeding that period, the NCP shall be taken back to the CCB for decision. (As a general rule, deferral time limits are one to two CCB cycles.) See Steps 6 and 7 below. Before approving an NCP with cost impact, the CCB chairperson(s) shall verify that a source of funding has been identified. <u>Before approving any NCP, the CCB chairperson(s) shall ensure that the required safety documentation is attached and appropriate action taken or assigned to meet SMS requirements as specified in CM policy and the SMS manual.</u> Before approving a test NCP, the CCB chairperson(s) shall verify the NCP has a requirements organization sponsor, requirements document or statement, test plan and procedures to include exit criteria. The CCB chairperson(s) normally approves test NCPs for a maximum of 12 months. In any case, the CCD shall specify an exact duration for the test. The CCD shall also require restoration of the pre-test configuration unless a test extension is processed or a follow-on NCP is approved to make the test configuration permanent. Extension of a test NCP shall require amendment and approval of the NCP in accordance with Sections 3.4.2.7 and 3.4.2.9. The CCB chairperson(s) shall sign a NAS CCD (FAA Form 1800-49) for each NCP that is approved or disapproved, documenting the decision. The CCD shall serve as the official FAA notification of CCB decisions and directives. The CCD shall identify the

Procedure Step	Procedure Description
<p>5. Issue CCB Minutes</p>	<p>actions required and the organizations responsible for completing implementation of approved changes.</p> <ul style="list-style-type: none"> • In cases where the CCD requires changes from the version presented at the meeting, the CCB Executive Secretariat shall be responsible for updating it and submitting the revision along with the meeting minutes for signature by the chairperson(s). • The CCB chairperson(s) shall also prescribe actions for discussion items not associated with a specific NCP, and these shall be recorded in the CCB meeting minutes. • The CCB Executive Secretariat shall prepare status reports for review by the CCB. These may include reports of past due NCPs and actions from previous CCB meetings. • If the NCP originator was not present at the CCB, the CCB Executive Secretariat shall notify the originator of the disposition decision after the meeting. • Although regularly scheduled CCBs are the preferred forum for the review and disposition of NCPs, from time to time the CCB Executive Secretariat may determine that an NCP should be signed outside a scheduled board. • NCPs that might be considered for signature outside a scheduled meeting include “urgent” and “time-critical” changes that require expedited processing, or non-contentious and administrative changes for which a formal CCB review would not be necessary. • NCPs that are identified for signature outside the board shall be processed in accordance with the CCB operating procedures. • The CCB Executive Secretariat shall prepare the meeting minutes within the

Procedure Step	Procedure Description
	<p>deadline specified in the CCB operating procedures.</p>
	<ul style="list-style-type: none"> • NCPs signed outside a formal CCB are normally listed in the meeting minutes of the next regularly scheduled CCB. • The CCB chairperson(s) shall approve and sign the CCB minutes. • The CCB Executive Secretariat shall distribute the CCB minutes upon signature. • The CCB CM Office shall enter <u>ensure capture of</u> the CCB results in DOCCON <u>the national CM support tool WebCM</u>.
6. NCP Deferred?	<ul style="list-style-type: none"> • NCPs shall not be deferred indefinitely. Proceed to Step 7 for NCP deferrals and Step 8 for all others.
7. NCP Deferrals (Procedure 3.4.2.3.5.1)	<ul style="list-style-type: none"> • Deferred NCPs shall be processed in accordance with Procedure 3.4.2.3.5.1.
8. Appeal CCB Decision?	<ul style="list-style-type: none"> • On occasion, an appeal of an NCP decision will be made. The CCB operating procedures shall include directions for appeal of decisions made at a CCB. • Proceed to Step 9 for appeals and Step 10 for all others.
9. CCD Appeals (Procedure 3.4.2.3.5.2)	<ul style="list-style-type: none"> • Appealed NCP/CCDs shall be processed in accordance with Procedure 3.4.2.3.5.2. Proceed to Step 12.
10. NCP Approved?	<ul style="list-style-type: none"> • Proceed to Step 11 for approved NCPs and Step 12 for disapproved NCPs.
11. Issue Implementing Directive	<ul style="list-style-type: none"> • The CCB Executive Secretariat shall issue the signed CCD for approved changes to the appropriate action offices for implementation. CCD actions may include approval of physical incorporation of changes to affected hardware, software or facilities; approval of technical evaluations, studies or tests; and directions for incorporation of changes in appropriate baseline documentation.

<u>Procedure Step</u>	<u>Procedure Description</u>
12. CCD Closure (Procedure 3.4.2.4)	<ul style="list-style-type: none">For both approved and disapproved NCPs, the CCB CM Office shall perform CCD closure activities in accordance with Procedure 3.4.2.4, CCD Closure. Note that for disapproved NCPs, CCD closure consists primarily of documenting the disapproval and reason in Block 7 of the CCD form and <u>ensuring capture in the updating WebCM national CM support tool DOCCON.</u>

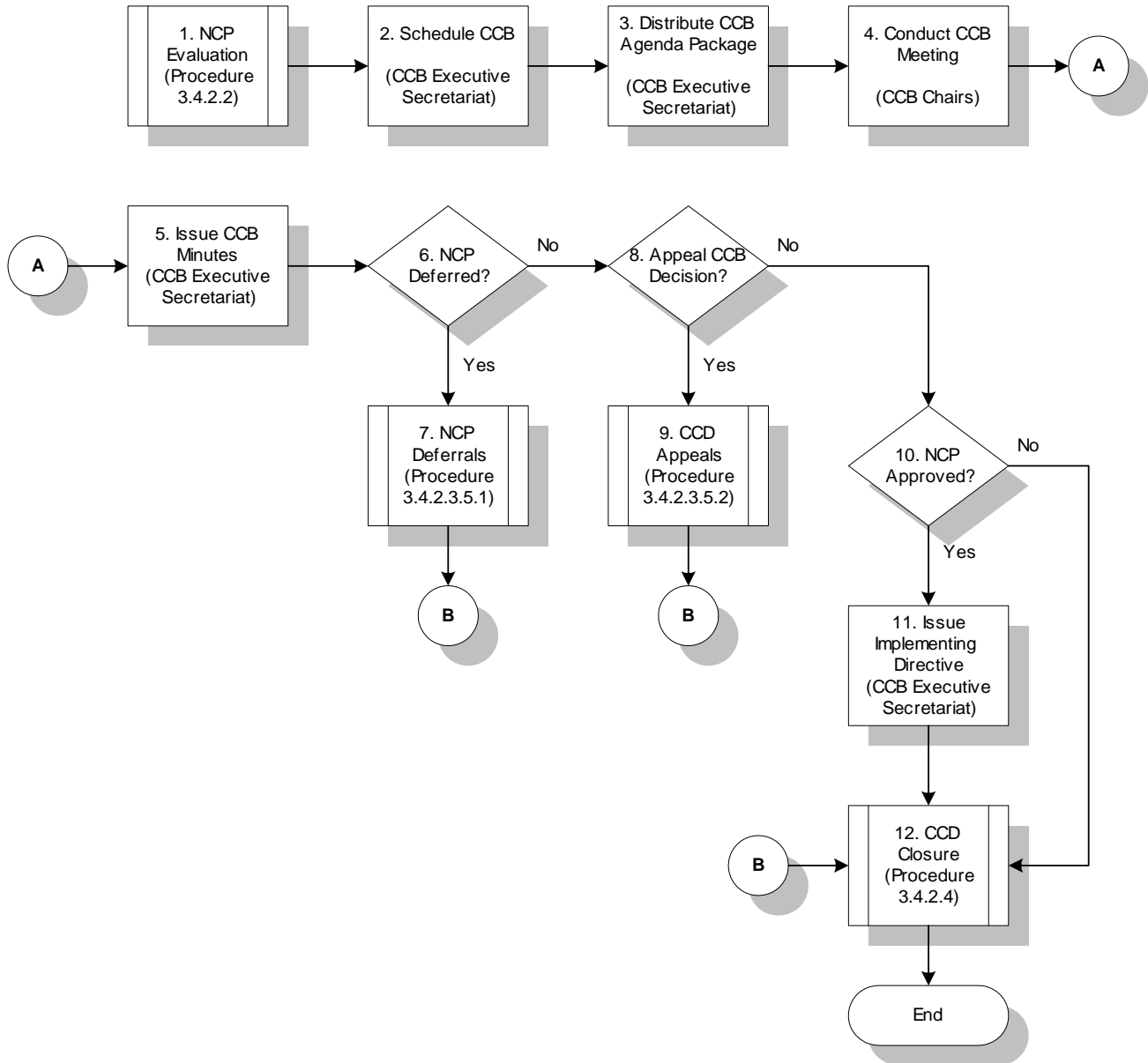


Figure 3.4.2.3.5-1 Configuration Control Board (CCB) Decision Process

3.4.2.3.5.1 NCP Deferrals

A CCB may review an NCP and decide that deferral is the appropriate disposition pending resolution of issues raised at the CCB. However, NCPs shall not be deferred indefinitely. Each CCB's operating procedures shall specify a time limit for NCP deferrals. After that point, the NCP shall be taken back to the CCB for a decision of approval or disapproval. As a general rule, deferral time limits are one to two CCB cycles. This section addresses the procedure steps for NCPs that are deferred at a CCB. Figure 3.4.2.3.5.1-1 provides a graphical representation of these steps.

Procedure Step	Procedure Description
1. Defer NCP and Identify Follow-Up Actions	<ul style="list-style-type: none"> The CCB chairperson(s) shall make a disposition decision (i.e., approved, disapproved or deferred) for all NCPs presented. For deferrals, the CCB chairperson(s) shall specify any follow-up actions that must be resolved before a final disposition decision of approval or disapproval is made for the NCP.
2. Resolve Deferral Actions	<ul style="list-style-type: none"> The NCP Originator shall attempt to resolve all actions within the deferral period specified in the CCB operating procedures.
3. Actions Resolved?	<ul style="list-style-type: none"> If yes, proceed to Step 5. Otherwise, proceed to Step 4.
4. Deferral Timeframe Expired?	<ul style="list-style-type: none"> If deferral actions remain unresolved and the deferral period is expired, proceed to Step 5. Otherwise, repeat Step 2.
5. Schedule NCP for CCB	<ul style="list-style-type: none"> The CCB Executive Secretariat shall schedule the NCP for the next available CCB in accordance with the CCB operating procedures. The CCB CM Office shall notify the NCP originator upon establishing a CCB date for review of the NCP.
6. Determine Disposition	<ul style="list-style-type: none"> At the scheduled CCB, the chairperson(s) shall make a final decision of approval or disapproval for the previously deferred NCP. The CCB chairperson(s) shall not defer an NCP that has been previously deferred. The CCB Executive Secretariat

Procedure Step	Procedure Description
7. CCD Closure (Procedure 3.4.2.4)	<p>shall include the decision in the CCB minutes and shall notify the NCP originator if not present at the CCB meeting.</p> <ul style="list-style-type: none"> • For both approved and disapproved NCPs, the CCB CM Office shall issue the signed CCD for implementation in accordance with Procedure 3.4.2.4, CCD Closure. • The CCB CM Office shall <u>enter ensure capture of</u> the disposition results in <u>DOCCONWebCMthe national CM support tool</u>.

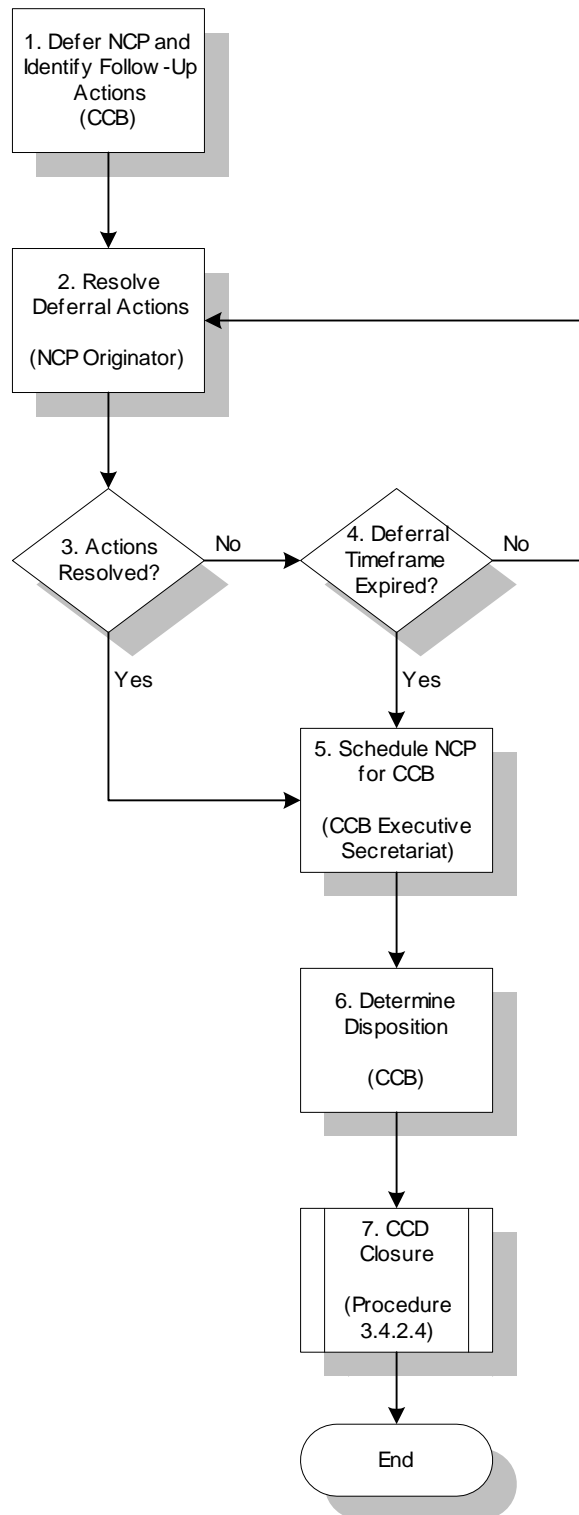


Figure 3.4.2.3.5.1-1 NCP Deferrals

3.4.2.3.5.2 CCD Appeals

An NCP originator or other interested party may appeal an NCP approval or disapproval documented in a signed CCD. Although the objective of the change management process is to identify, discuss, assess and resolve all substantive issues before a CCB, on occasion an appeal of a CCB decision will be made. An appeal should be considered a last resort, however. The NCP originator or other interested party must believe serious negative impact would result if the decision were not reconsidered. The operating procedures shall include directions for appeal of decisions made at the CCB. If the appeal is not successful at the reviewing CCB level, redress may be further sought from the NAS CCB. The NAS CCB shall be the final appeal body for NCPs. This section addresses the procedure steps for the appeal of a CCB decision. Figure 3.4.2.3.5.2-1 provides a graphical representation of these steps.

Procedure Step	Procedure Description
1. Prepare Appeal and Notify CCB	<ul style="list-style-type: none"> The CCB operating procedures shall include directions for appeal of decisions made at the CCB and documented in the CCD. Appeal of a CCB decision shall be made in accordance with the process defined in the CCB operating procedures. Normally, this includes finding an appeal sponsor, making the appeal within the prescribed timeframe and providing justification for a reversal. An appeal sponsor is usually a member of the CCB. The appeal sponsor shall notify the CCB Executive Secretariat of the appeal request and shall submit the necessary documentation.
2. Schedule Appeal for CCB	<ul style="list-style-type: none"> The CCB Executive Secretariat shall schedule the appeal for the next available CCB in accordance with the appeal process. The CCB Executive Secretariat shall notify the NCP originator, appeal sponsor and other interested parties upon establishing a CCB date for the appeal.
3. Make Appeal Decision	<ul style="list-style-type: none"> The CCB chairperson(s) shall review the appeal request and shall make a disposition decision.

Procedure Step	Procedure Description
4. Appeal Denied?	<ul style="list-style-type: none"> The CCB Executive Secretariat shall include the decision in the CCB minutes and shall notify any interested party not present at the CCB meeting. If the appeal is granted, proceed to Step 10. Otherwise, proceed to Step 5.
5. Continue Appeal?	<ul style="list-style-type: none"> The reviewing CCB's decision may be further appealed to the NAS CCB. For appeals to the NAS CCB, proceed to Step 6. Otherwise, proceed to Step 11.
6. Submit Appeal to NAS CCB	<ul style="list-style-type: none"> The appealing party shall notify the NAS CCB Executive Secretariat of the appeal request and shall submit the necessary documentation.
7. Schedule Appeal for NAS CCB	<ul style="list-style-type: none"> The NAS CCB Executive Secretariat shall schedule the appeal for the next available CCB in accordance with the NAS CCB operating procedures defining the appeal process. The NAS CCB Executive Secretariat shall notify the appealing party upon establishing a CCB date.
8. Make Appeal Decision	<ul style="list-style-type: none"> The NAS CCB chairpersons shall review the appeal request and shall make a disposition decision. The NAS CCB Executive Secretariat shall include the decision in the CCB minutes and shall notify the originating CCB's Executive Secretariat of the decision as well as any interested party not present at the meeting.
9. Appeal Successful?	<ul style="list-style-type: none"> If the appeal is granted, proceed to Step 10. Otherwise proceed to Step 11.
10. Prepare Revised NCP/CCD Package	<ul style="list-style-type: none"> The originating CCB's Executive Secretariat shall coordinate preparation of the revised NCP/CCD package as appropriate.

Procedure Step

Procedure Description

11. CCD Closure (Procedure 3.4.2.4)

- The CCB CM Office shall issue the signed CCD for implementation in accordance with Procedure 3.4.2.4, CCD Closure.
- The CCB CM Office shall ensure capture of ~~enter~~ the disposition results in ~~DOCCON WebCM~~ the national CM support tool.

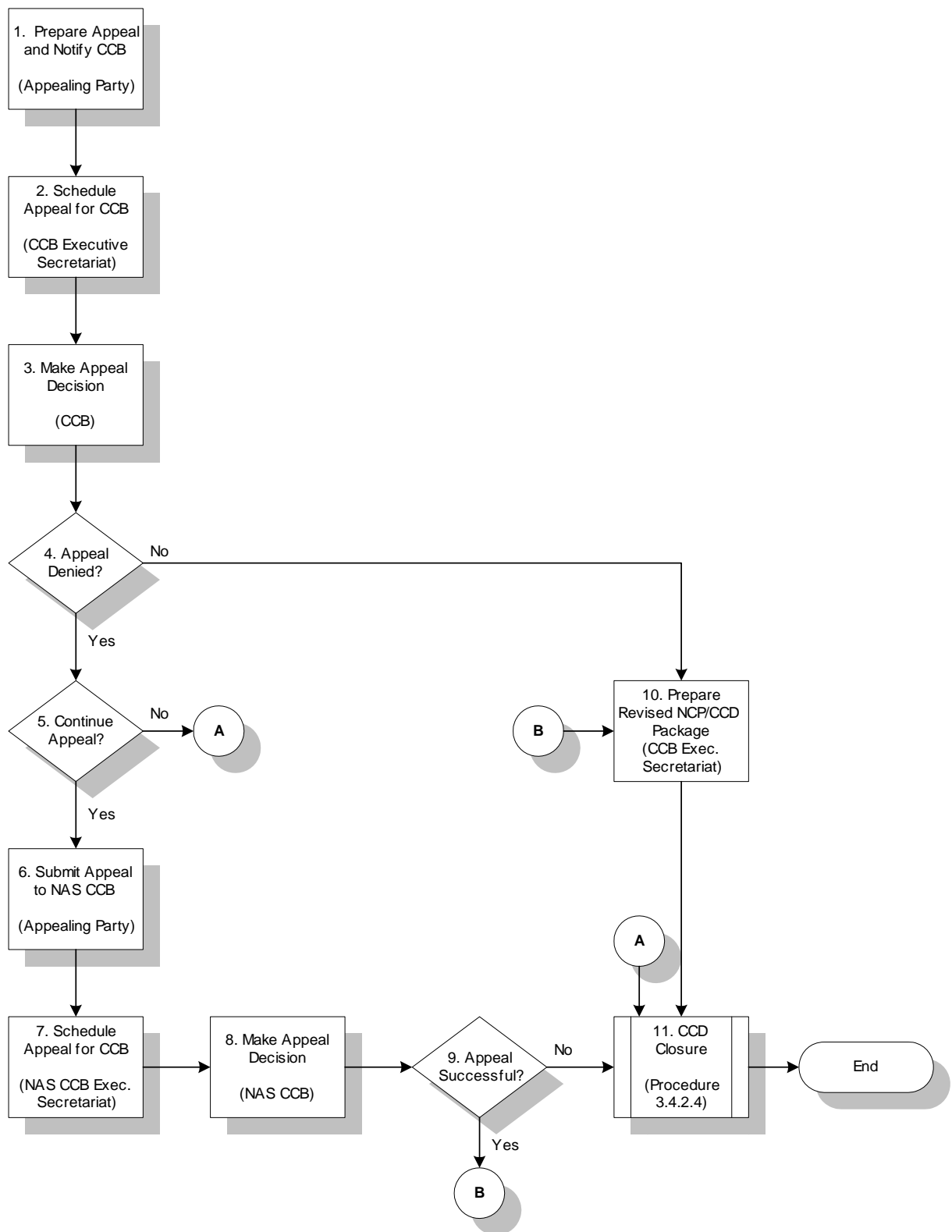


Figure 3.4.2.3.5.2-1 CCD Appeals

[PC1]Move to new section, 3.4.2.11 Test NCPs (section under development)